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PTO/SB/21 (04-04)

# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	10/810,350
Filing Date	March 26, 2004
First Named Inventor	Hansen, Carl L.
Art Unit	1732
Examiner Name	Unassigned
Attorney Docket Number	20174C-004960US

Total Number of Pages in This Submission

## ENCLOSURES (Check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application  <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund  <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Technology Center (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Return Postcard Power of Attorney (CalTech) Statement Under 37 CFR 3.73(b) with attached copy of assignment (CalTech) Power of Attorney (The Regents of the University of California) Statement Under 37 CFR 3.73(b) with attached copy of assignment (The Regents of the University of California)
<input type="checkbox"/> Remarks The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.		

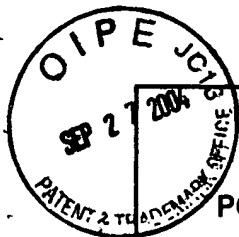
## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Townsend and Townsend and Crew LLP	Reg. No. 39,496
Signature		
Date	September 22, 2004	

## CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name	Eleanor J. Taylor		
Signature		Date	September 22, 2004

**POWER OF ATTORNEY  
and  
CORRESPONDENCE ADDRESS  
INDICATION FORM**

Application Number	10/810,350
Filing Date	March 26, 2004
First Named Inventor	Hansen, Carl L.
Title	MICROFLUIDIC PROTEIN CRYSTALLOGRAPHY TECHNIQUES
Art Unit	1732
Examiner Name	Unassigned
Attorney Docket Number	20174C-004960US

I hereby appoint:

☒ Practitioners associated with the Customer Number

20350

OR

☐ Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

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☐ Firm or  
Individual Name

Address

Address

City

State

ZIP

Country

Telephone

Fax

I am the:

☐ Applicant/Inventor.☒ Assignee of record of 50% interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).**SIGNATURE of Applicant or Assignee of Record**

Name Adan Cochran, Intellectual Property Counsel, California Institute of Technology

Signature

Date 14 September 2004

Telephone

626 395 4567

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

☐ \*Total of \_\_\_\_\_ forms are submitted.



Attorney Docket No. 20174C-004960US

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Carl L. Hansen, Stephen R. Quake, and James M. BergerApplication No./Patent No.: 10/810,350 Filed/Issue Date: March 26, 2004Entitled: MICROFLUIDIC PROTEIN CRYSTALLOGRAPHY TECHNIQUESCalifornia Institute of Technology, a Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☐ the assignee of the entire right, title, and interest; or
2. ☒ an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is 50%

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To : \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
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The document was recorded in the United States Patent and Trademark Office at  
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☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

14 September 2004

Date

626.395 4567

Telephone number

Adam Cochran

Typed or printed name

Signature

Intellectual Property Counsel  
California Institute of Technology

Title

# COPY

Attorney Docket No.: 20174C-004960US

## ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS, Carl L. Hansen of 438 S. Catalina #204, Pasadena, CA 91106; and Stephen R. Quake of 744 Plymouth Road, San Marino, CA 91108, hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: MICROFLUIDIC PROTEIN CRYSTALLOGRAPHY  
TECHNIQUES

Filing Date: March 26, 2004

Application No.: 10/810,350; and

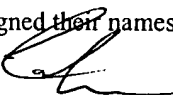
WHEREAS, California Institute of Technology, a corporation of the state of California, located at 1200 E. California Boulevard, MS 201-85, Pasadena, CA 91125, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

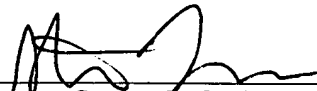
Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

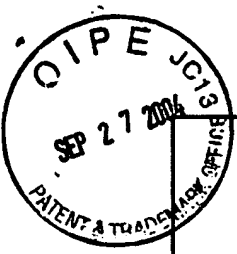
IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: 7/30/04

  
\_\_\_\_\_  
Carl L. Hansen

Dated: 7/20/04

  
\_\_\_\_\_  
Stephen R. Quake



<b>POWER OF ATTORNEY and CORRESPONDENCE ADDRESS INDICATION FORM</b>	<b>Application Number</b>	10/810,350
	<b>Filing Date</b>	March 26, 2004
	<b>First Named Inventor</b>	Hansen, Carl L.
	<b>Title</b>	MICROFLUIDIC PROTEIN CRYSTALLOGRAPHY TECHNIQUES
	<b>Art Unit</b>	1732
	<b>Examiner Name</b>	Unassigned
	<b>Attorney Docket Number</b>	20174C-004960US

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☒ Practitioners associated with the Customer Number 20350

OR

☐ Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

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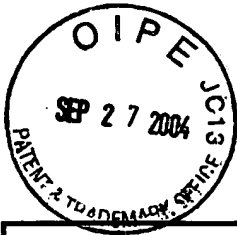
<input type="checkbox"/> Firm or Individual Name					
Address					
Address					
City		State		ZIP	
Country					
Telephone		Fax			

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of 50% interest. See 37 CFR 3.71.  
*Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).*

<b>SIGNATURE of Applicant or Assignee of Record</b>			
Name	Carol Mimura		
Signature			
Date	9/3/04	Telephone	510-643-7201
<small>NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.</small>			
<input type="checkbox"/> *Total of _____ forms are submitted.			

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Carl L. Hansen, Stephen R. Quake, and James M. BergerApplication No./Patent No.: 10/810,350Filed/Issue Date: March 26, 2004Entitled: MICROFLUIDIC PROTEIN CRYSTALLOGRAPHY TECHNIQUESThe Regents of the University of California, a Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☐ the assignee of the entire right, title, and interest; or
2. ☒ an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is 50%

in the patent application/patent identified above by virtue of either:

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OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

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3. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
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The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

9/3/04

Date

510-643-7201

Telephone number

Carol Mimura

Typed or printed name



Signature

Director

Title

# COPY

TTC Attorney Docket No. 20174C-004960USASSIGNMENTU.C.B. Case No. B02-048-2

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. James M. Berger

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located 1111 Franklin St., 12<sup>th</sup> Floor, Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the UCB Case No. B02-048-2 entitled:

MICROFLUIDIC PROTEIN CRYSTALLOGRAPHY TECHNIQUES

or which is found in

- (a) \_\_\_\_\_ U.S. provisional application filed herewith and listing the above-named persons as inventors
- (b) \_\_\_\_\_ U.S. patent application filed herewith and listing the above-named persons as inventors
- (c)   X   U.S. application serial no. 10/810,350, filed on March 26, 2004
- (d) \_\_\_\_\_ U.S. Patent No.: \_\_\_\_\_, issued \_\_\_\_\_

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

30<sup>th</sup> day of June, 2004

Signature of Inventor(s)

James M. Berger